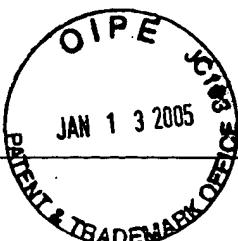
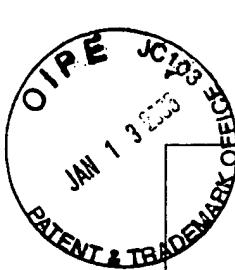


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## TRANSMITTAL FORM

(to be used for all correspondence during pendency of filed application)

		Application Number	09/757,872
		Filing Date	January 10, 2001
		First Named Inventor	John S. Flowers
		Group Art Unit Number	2134
		Examiner Name	Ellen C. Tran
Total Number of Pages in This Submission	7*	Attorney Docket Number	23327-06893

### ENCLOSURES (check all that apply)

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<input type="checkbox"/> Response to Notice to File Missing Parts	<input type="checkbox"/> Formal Drawing(s): [ ] Sheet(s) of Figure(s) [ ]
<input type="checkbox"/> Assignment & Recordation Cover Sheet	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
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<input type="checkbox"/> Application Data Sheet	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Supplemental Information Disclosure Statement & PTO/SB/08A <input checked="" type="checkbox"/> Copies of IDS Cited References	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
<input type="checkbox"/> Request for Corrected Filing Receipt	
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REMARKS: \*Page count does not include cited references.

### SIGNATURE OF ATTORNEY OR AGENT

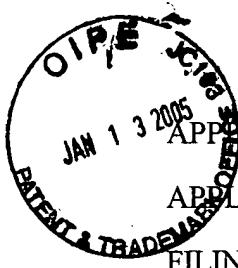
Signature:	
Attorney/Reg. No.:	Hector J. Ribera, Reg. No. 54,397
Dated:	Jan 10, 2005

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I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: John S. Flowers and Thomas C. Stracener  
APPLICATION NO.: 09/757,872  
FILING DATE: January 10, 2001  
TITLE: Query-Based Rules For Use In Network Security Systems  
EXAMINER: Ellen C. Tran  
GROUP ART UNIT: 2134  
ATTY. DKT. NO.: 23327-06893

**CERTIFICATE OF MAILING**

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Dated: Jan 10, 2005

By: Hector J. Ribera

Hector J. Ribera Reg. No.: 54,397

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**INFORMATION DISCLOSURE STATEMENT**  
**Under 37 CFR §§ 1.56 and 1.97-98**

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;

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01/03/05

**PATENT**

- after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
  - Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;  
OR
    - no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
  - on or before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; (2) a notice of allowance under 37 CFR § 1.311; or (3) an action that otherwise closes prosecution in the application, and:
    - Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
      - each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
      - no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained

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in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

- attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(c); OR
- after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.
- This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. \_\_\_\_\_, filed on \_\_\_\_\_, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- This application was filed after June 30, 2003. Therefore, pursuant to the waiver of the requirements under 37 CFR 1.98(a)(2)(i), copies of each U.S. Patent and each U.S. Patent Application Publication are not required to be submitted. Copies of any foreign patent documents and non-patent literature cited herein are enclosed.
- Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,  
JOHN S. FLOWERS AND THOMAS C.  
STRACENER

Dated:

Jan 10, 2005

By: Hector J. Ribera  
Hector J. Ribera, Reg. No.: 54,397  
Fenwick & West LLP  
Silicon Valley Center  
801 California Street  
Mountain View, CA 94041  
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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

Sheet

1 of 2

## Complete if Known

Application No.	09/757,872
Filing Date	January 10, 2001
First Named Inventor	John S. Flowers
Art Unit	2134
Examiner Name	Ellen C. Tran
Attorney Docket Number	23327-06893

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document No.	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
A1	US-6,775,657 B1	08-10-2004	Baker	
A2	US-6,771,597 B2	08-03-2004	Makansi et al.	
A3	US-6,735,702 B1	05-11-2004	Yavatkar et al.	
A4	US-6,735,169 B1	05-11-2004	Albert et al.	
A5	US-6,708,212 B2	03-16-2004	Porras et al.	
A6	US-6,687,833 B1	02-03-2004	Osborne et al.	
A7	US-6,578,147 B1	06-10-2003	Shanklin et al.	
A8	US-6,574,737 B1	06-03-2003	Kingsford et al.	
A9	US-6,502,135 B1	12-31-2002	Munger et al.	
A10	US-6,484,203 B1	11-19-2002	Porras et al.	
A11	US-6,470,384 B1	10-22-2002	O'Brien et al.	
A12	US-5,961,644	10-05-1999	Kurtzberg et al.	
A13	US-5,923,646	07-13-1999	Mandhyan	
A14	US-5,919,257	07-06-1999	Trostle	
A15	US-5,850,516	12-15-1998	Schneier	

## FOREIGN PATENT DOCUMENTS

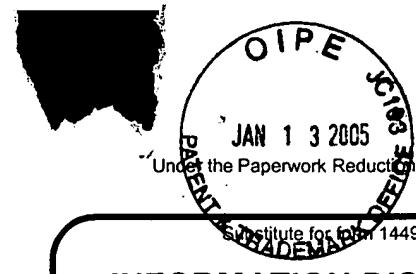
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>
B1	WO 03/100617 A1	12-04-2003	Lucid Security Corporation		
B2	WO 02/19661 A2	03-07-2002	Top Layer Networks, Inc.		
B3	WO 01/84270 A2	11-08-2001	Internet Security Systems, Inc.		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

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PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

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## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

<i><b>Complete if Known</b></i>	
<b>Application No.</b>	09/757,872
<b>Filing Date</b>	January 10, 2001
<b>First Named Inventor</b>	John S. Flowers
Art Unit	2134
Examiner Name	Ellen C. Tran
Attorney Docket Number	23327-06893

## **OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS**

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

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<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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